

North Carolina Department of Health and Human Services Division of Mental Health, Developmental Disabilities and Substance Abuse Services

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Michael F. Easley, Governor Carmen Hooker Odom, Secretary Richard J. Visingardi, Ph.D, Director

December 9, 2003

MEMORANDUM

TO: Area Directors and Fiscal Officers

FROM: Flo Stein, Chief, Community Policy Management Section

Leza Wainwright, Team Leader, Budget and Finance Team

THROUGH: Janice Petersen, Team Leader, Prevention/Early Intervention Team

Spencer Clark, Director of Operations and Clinical Services

RE: Transfer of SAPTBG Prevention Funds and SDFSCA Governor's Funds to Non-UCR

We have heard concerns from a number of area programs and contract agencies regarding the difficulty they are having in earning the prevention portion of the Substance Abuse Prevention and Treatment Block Grant (SAPTBG) and Safe and Drug-Free Schools and Communities Act (SDFSCA) funds. In reviewing IPRS earnings reports, we have determined that the problem appears to be widespread. Therefore, the remaining balances in these two fund accounts (UCR Child SA Prevention: 536911-1491 and UCR Drug Free Schools: 536965-1491) are immediately being transferred to Non-UCR for SFY 03-04. This will provide area programs with a start-up period for the current fiscal year to allow them to establish new prevention contracts, hire the necessary prevention staff, and establish or enhance service systems for the planning and delivery of evidence-based prevention programs according to the guidelines communicated below, and those previously communicated by Dr. Visingardi in his correspondence of April 15, 2003.

Effective immediately through June 30, 2004, programs should request to be reimbursed for allowable prevention expenditures through the submission of monthly Financial Status Reports (FSRs). This may include any unreimbursed prevention expenditures from July 1, 2003 through June 30, 2004. Allowable expenditures for Child Substance Abuse Prevention services are detailed below.

In order to prevent the further accumulation of units reported to IPRS, programs should immediately cease billing under IPRS for substance abuse prevention services under CSSP, CSIP, and CSAO. Under CSSP and CSIP, excluded services should be H0001, H0002, H0025, YP498 and YP499. Under CSAO, excluded services should be YP110, and YP498 and YP499 when travel is directly associated with the delivery of YP110. IPRS categories for prevention target populations are being closed immediately, and future claims will be denied.

Please note, all prevention programs and services will be reintegrated into IPRS on July 1, 2004. Programs should use the remainder of the current fiscal year under Non-UCR funding to build their service capacities to operate within IPRS at the same level of funding for SFY 04-05.



Transfer of SAPTBG Prevention Funds and SDFSCA Governor's Funds to Non-UCR

Key directions that have already been established for prevention in Dr. Visingardi's correspondence of April 15, 2003 will remain in place, in addition to several changes that are described below. These include the following:

1. Use of Approved Evidence-Based Substance Abuse Prevention Programs

Area programs and contract agencies are required to utilize an evidenced-based Substance Abuse Prevention Program in one of three nationally approved categories: Promising Programs, Effective Programs, or Model Programs, that have been endorsed by CSAP, DOE, OJJ, NIDA, NIAAA, or CDC.

2. Provision of SAPTBG Child Substance Abuse <u>Universal Prevention</u>

Effective July 1, 2003 through June 30, 2004, **up to 50%** of your SAPTBG Child Substance Abuse Prevention allocation may be devoted to services that are delivered in approved evidence-based programs categorized as **Universal Prevention**, that are directed towards children and adolescents under 18 years of age and/or their parents. Substance Abuse Universal Prevention Programs are those directed at individuals in the general population of youth who do not require treatment for substance abuse. Such programs are aimed at educating and advising individuals on such abuse and providing for designated non-treatment activities to reduce the risk of such abuse. These activities shall be focused on information sharing and program delivery as a part of the evidence based prevention programming **delivered in communities in non-school settings**. These services shall be delivered in accordance with a plan of action and documented as Child Substance Abuse Consultation, Education, and Primary Prevention (C, E, & PP) Services according to the requirements of the revised *Service Records Manual*. **Synar activities are included as a part of these Universal Prevention services**. A qualified provider of this service shall be a substance abuse professional who meets the criteria established for the delivery of Behavioral Health Prevention Education Services as outlined in Dr. Visingardi's correspondence of April 15, 2003.

3. Provision of SAPTBG Child Substance Abuse Selective and Indicated Prevention

Effective July 1, 2003 through June 30, 2004, a minimum of 50% of SAPTBG Child Substance Abuse Prevention services must be delivered in approved evidence-based programs categorized as Selective and/or Indicated Prevention, that are directed towards children and adolescents under 18 years of age and/or their parents. Substance abuse prevention services shall be delivered according to the requirements for Behavioral Health Prevention Education Services, and are required to be documented according to the requirements for either the regular client record, or the Substance Abuse Prevention Services Record, that are published in the revised Service Records Manual. Behavioral Health Prevention Education Services for Selective or Indicated populations is a Child Substance Abuse service designed to prevent or delay the first use of substances or to reduce or eliminate the use of substances. This is a non-Medicaid service that is preventative in nature and is not intended for individuals who have been determined to have a diagnosable substance abuse disorder that requires treatment. A qualified provider of this service shall be a substance abuse professional who meets the criteria established for the delivery of Behavioral Health Prevention Education Services as outlined in Dr. Visingardi's correspondence of April 15, 2003.



4. Provision of SDFSCA Governor's Child Substance Abuse Selective Prevention

Effective July 1, 2003 through June 30, 2004, your SDFSCA Governor's Child Substance Abuse Prevention services shall be delivered in approved evidence-based programs categorized as **Selective Prevention**, that are directed towards children and adolescents under 18 years of age and/or their parents. Substance abuse prevention services shall be delivered according to the requirements for Behavioral Health Prevention Education Services, and are required to be documented according to the requirements for either the regular client record, or the Substance Abuse Prevention Services Record, that are published in the revised *Service Records Manual*. Behavioral Health Prevention Education Services for Selective populations is a Child Substance Abuse service designed to prevent or delay the first use of substances. This is a non-Medicaid service that is preventative in nature and is not intended for individuals who have been determined to have a diagnosable substance abuse disorder that requires treatment. A qualified provider of this service shall be a substance abuse professional who meets the criteria established for the delivery of Behavioral Health Prevention Education Services as outlined in Dr. Visingardi's correspondence of April 15, 2003.

5. Delivery of Substance Abuse Prevention Services to Child Mental Health Clients

Based on the expressed desires of area programs and contract agencies to utilize SAPTBG Child Substance Abuse Prevention Funds and SDFSCA Governor's Funds to be able to fund services to the Child Mental Health population, we are immediately opening up the funding for our Child Substance Abuse Prevention programs to Child Mental Health clients. This is a change from our previously communicated policy by Dr. Visingardi of April 15, 2003 that prohibited the use of these funds for the delivery of Substance Abuse Selective and Indicated Prevention services to diagnosed Child Mental Health treatment populations. When substance abuse prevention services are provided to children and adolescents who are being served, or have been served, in the Child Mental Health population, required substance abuse prevention elements for child risk assessment, progress notes, and prevention outcomes shall be recorded in either the regular client record, or the Substance Abuse Prevention Services Record. In either circumstance, there shall be documentation in the record(s) of coordination of service provision between current providers of mental health treatment and substance abuse prevention services.

6. Prevention Services Monthly Summary Requirement for Non-UCR Activities

In order to provide increased accountability and to facilitate state level program planning and evaluation, a Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities for SAPTBG funds, and one for SDFSCA funds, is required for the reporting on designated CSA Prevention staff activities for the months of January 2004 through June 2004. This Summary details the evidence-based program(s) being implemented, by category of services delivered by whom, and for what sub-category of participants. Enclosed is a form for each funding source, to be utilized to report these monthly activities. The Monthly Summary allows for the accurate accounting of designated Substance Abuse Prevention staff hours spent in direct and indirect prevention activities under the SAPTBG and/or SDFSCA Governor's funds.

The SAPTBG Monthly Summary is to be completed for all direct and indirect service activities provided by designated Child Substance Abuse Prevention professionals whose positions and prevention expenditures are being reimbursed through the SAPTBG.



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Transfer of SAPTBG Prevention Funds and SDFSCA Governor's Funds to Non-UCR

The SDFSCA Governor's Monthly Summary is to be completed for all direct and indirect service activities provided by designated Child Substance Abuse Prevention professionals whose positions and expenditures are being reimbursed through the SDFSCA funds.

Each Summary is to be submitted on the 10th of each month following the month summarized. For example, the January 2004 Summary is due on February 10, 2004. Summaries should be submitted to Dr. Janice Petersen, Prevention/Early Intervention Team, at 3021 Mail Service Center, Raleigh, NC 27699-3021, or at Janice.Petersen@ncmail.net. For questions, contact Dr. Petersen at (919) 715-5989. (An electronic copy of each form is available upon request. As necessary, forms may be duplicated).

7. Allowable Expenditures for Child Substance Abuse Prevention

All area programs and sub-contractors must agree to provide substance abuse prevention services within the stated parameters of this memorandum and Dr. Visingardi's correspondence of April 15, 2003.

Area programs may request reimbursement for expenditures associated with designated prevention staff activities related to the delivery of Child Substance Abuse Prevention Services as described above. Area programs are allowed to utilize up to 13% of reported expenditures for necessary administrative costs related to supporting substance abuse prevention services. All staff expenditures, supplies, purchase of prevention materials, training and travel must be related to the provision of evidence-based programming for Child Substance Abuse Prevention services by designated qualified substance abuse staff. Any capital expenditure in excess of \$3000 must be approved in writing by the State Prevention Office staff prior to purchase. Detail of all prevention expenditures shall be subject to review by local, state, and federal auditors, and Division staff.

Any questions about this service delivery and programming, staff qualifications, service records requirements, or monthly reporting should be directed to Dr. Janice Petersen, Team Leader of the Prevention and Early Intervention Team (Office of Prevention) at 919-715-5989 or Janice.Petersen@ncmail.net. Questions regarding Financial Status Reports (FSRs) should be directed to Kristi Hickman at kristi.hickman@ncmail.net.

Thank you for your attention to this matter.

Enclosures (2)

cc: Carmen Hooker Odom, DHHS Secretary
Lanier Cansler, DHHS Deputy Secretary
Jim Bernstein
Executive Leadership Team
Carol Duncan Clayton, NC Council of Community Programs
Robin Huffman
Mike Mayer
Patrice Roesler
Kaye Holder
Bob Duke
Regional Accountants





SDFSCA Governor's Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

Area Program/LM	1E	Contract Age	ncy (if applicabl	le) Name	& Signature of	Person Compl	eting Summary	Date S	Submitted
Summary Period	d (Check ✓	one):	Jan/04	Feb/04	Mar/04	Apr/04	May/04	Jun/04	
Instructions: Subsprograms are aimed The SDFSCA Goven designated Child Submitted on the 10 Janice Petersen, Figurestions, contact	d at educating ernor's Prevenubstance About of each moreon, but of each moreon, but on the prevention, but on the prevention, but on the prevention of the p	ng and advising in the pertion Services In the pertion services In the pertion in the perturbation in the pertu	individuals on sur Monthly Summar staff whose posit ne month summa on Team, at 302 989. (Electronic	ch abuse and pr y of Non-UCR A ions and expend rized. For exam 1 Mail Service (copy of form is a	oviding for design ctivities is to be ditures are being aple, the January Center, Raleigh available upon re	nated non-treatr completed for all reimbursed thro v 2004 Summary , NC 27699-302	nent activities to Direct and Indire ugh the SDFSC is due on Febru 1, or at Janice.F	reduce the risk of ect Service activity A funds. Summa ary 10, 2004. So Petersen@ncma	of such abuse. ties provided by ary is to be ubmit to Dr.
Name of Approve				ention Program					
Selective Program(s) Being Implemented		Promising	k ✓ one per pro Effective	Model					
1.			1 Tolliionig	Lileotive	Model				
2.									
3.									
Printed Name of Each Designated CSA Prevention Professional	Monthly Total No. of Hrs. of Each	Provision (Documente	nated CSA Prevent of Direct Serving din either the CI ensultation, Education, # Hrs.	ice Prevention A ient Record or in	Activities of the Service		ated CSA Preven of Indirect Sel	# Hrs. of CSA	
Supported Through SDFSCA Governor's Prevention Funds	Staff Position Reim- bursed through SDFSCA Gov. Prev. Funds	Provided in CSA Prevention to Children and/or Adolescents (H0001, H0002, H0025, YP110)	Provided in CSA Prevention to Parents and/or Residential Caregivers (H0001, H0002, H0025, YP110)	Provided in CSA Prevention to All Other Individuals (YP110)	in Travel to Provide CSA Prevention Services (YP498, YP499)	Prevention Program Planning and/or Preparation	Prevention Services Documen- tation and/or Evaluation Activities	Prevention Staff in Providing or Receiving Prevention Staff Supervision and/or Training	Other CSA Prevention Indirect Service Activities
Example: Al Jackson	160	50	20	10	8	40	20	10	2

SDFSCA Governor's Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

Area Program/LM	IE .	Contract Ager	ncy (if applicabl	e) Name	& Signature of	in No. of Designated CSA Prevention Staff Hours Utilized Completion of Indirect Service Prevention Activities # Hrs. of CSA # Hrs. of CSA # Hrs. of CSA Prevention Preven			Submitted
Summary Period	d (Check 🗸	one):	Jan/04	Feb/04	Mar/04	Apr/04	May/04	Jun/04	
Name of Approve Selective Program 1.			CSA Prevention Program Category (Check ✓ one per program) Promising Effective Model						
2.									
3.									
Printed Name of Each Designated CSA Prevention	Monthly Total No. of Hrs. of	Provisior (Documente	nated CSA Prevented in either the CI noultation, Education, Education,	ice Prevention A ient Record or in	Activities the <u>Service</u>				
Professional Supported Through SDFSCA Governor's Prevention Funds	Each Staff Position Reim- bursed through SDFSCA Gov. Prev. Funds	# Hrs. Provided in CSA Prevention to Children and/or Adolescents (H0001, H0002, H0025, YP110)	# Hrs. Provided in CSA Prevention to Parents and/or Residential Caregivers (H0001, H0002, H0025, YP110)	# Hrs. Provided in CSA Prevention to All Other Individuals (YP110)	# Hrs. in Travel to Provide CSA Prevention Services (YP498, YP499)	Prevention Program	Prevention Services	Prevention Staff in	# Hrs. of All Other CSA Prevention Indirect Service Activities

SAPTBG Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

	Monthly Total No. of	No. of Designated CSA Prevention Staff Hours Utilized in Provision of Direct Service Prevention Activities (Documented in either the Client Record or in the Service Record for Consultation, Education, and Primary Prevention) No. of Designated CSA Prevention Staff Completion of Indirect Service Prevention								
3. Printed Name of		No. of Design	ated CSA Prove	ention Staff Hou	ıre Utilizad in					
2.										
1.										
J	`, •	•	Promising	Effective	Model	Selective	Indicated	Universal	Synar	
Name of Approved Prevention Program			CSA Prevention Program Category (Check ✓ one per program)			C	SA Prevention (Check ✓ one p			
Summary Period Instructions: Substance programs are aimed The SAPTBG CSA P designated Child Substance on the 10 th of each m Petersen, Prevention contact Dr. Petersen	ance Abus at educatin Prevention Sostance Abo nonth follow on/Early Int	e Prevention P g and advising i Services Monthly use Prevention s ing the month s ervention Tear	rograms are the ndividuals on sucy Summary of No staff whose posit ummarized. For n, at 3021 Mail S	ose directed at ch abuse and pro- n-UCR Activities ions and expend example, the Ja Service Center,	individuals who oviding for desig s is to be comple ditures are being nuary 2004 Sum Raleigh, NC 270	nated non-treatm ted for all Direct a reimbursed throu nmary is due on F 699-3021, or at J	treatment for su ent activities to re and Indirect Serv igh the SAPTBG. ebruary 10, 2004 anice.Petersen	bstance abuse educe the risk of ice activities pro Summary is to Submit to D Oncmail.net.	of such abuse. Dovided by Do be submitted r. Janice	
· ·		Contract Ager	ncy (if applicabl	e) Name	& Signature of	Person Comple	eting Summary	Date S	Submitted	

2.									
3.									
Printed Name of Each Designated CSA Prevention Professional Supported Through SAPTBG Prevention Funds	Monthly Total No. of Hrs. of Each Staff Position Reim- bursed Through SAPTBG CSA Prev. Funds	Provision (Documente	n of Direct Serv d in either the <u>C</u>	ention Staff Houice Prevention Alient Record or in ation, and Prima # Hrs. Provided in CSA Prevention to All Other Individuals (YP110)	Activities the <u>Service</u>			# Hrs. of CSA Prevention # Hrs. of CSA Prevention Staff in Providing or Receiving Prevention Staff Supervision and/or Training	
Example: Sally Roberts	160	48	18	16	6	30	15	20	7

SAPTBG Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

Area Program/LM	ΙΕ	Contract Ager	ncy (if applicab	le) Name	& Signature of	Person Compl	eting Summary	Date S	Submitted		
Summary Period	d (Check ✓	one):	Jan/04	Feb/04	Mar/04	Apr/04	May/04	Jun/04			
Name of Approve Prevention Progra			(Chec	ention Program k ✓ one per pro Effective	• •		CSA Prevention Program Type (Check ✓ one per program)				
1.			Promising	Effective	wodei	Selective	Indicated	Universal	Synar		
2.											
3.											
Each Monthly Provis Designated Total (Docume			n of Direct Servi d in either the <u>Cl</u>	ention Staff Hou ice Prevention A lient Record or in ation, and Prima	Activities the <u>Service</u>	No. of Designated CSA Prevention Staff Hours Utilized in Completion of Indirect Service Prevention Activities					
Professional Supported Through SAPTBG Prevention Funds	Hrs. of Each Staff Position Reim- bursed Through SAPTBG CSA Prev. Funds	# Hrs. Provided in CSA Prevention to Children and/or Adolescents (H0001, H0002, H0025, YP110)	# Hrs. Provided in CSA Prevention to Parents and/or Residential Caregivers (H0025, YP110)	# Hrs. Provided in CSA Prevention to All Other Individuals (YP110)	# Hrs. in Travel to Provide CSA Prevention Services (YP498, YP 499)	# Hrs. of CSA Prevention Program Planning and/or Preparation	# Hrs. of CSA Prevention Services Documen- tation and/or Evaluation Activities	# Hrs. of CSA Prevention Staff in Providing or Receiving Prevention Staff Supervision and/or Training	# Hrs. of All Other CSA Prevention Indirect Service Activities		

SAPTBG Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

Area Program/LME	Contract Agency	(if applicable)	Name 8	& Signature of F	Person Compl	eting Summary	Date Sub	mitted
Summary Period (Check 🗸	one):	Jan/04 _	Feb/04	Mar/04	Apr/04	May/04 _	Jun/04	